

February 27, 2001

Subject: Amendment No. 1 to Letter of Interest No. RDJ-0-30630-00 entitled "Thin-Film Photovoltaics Partnerships Program"

The above LOI issued January 16, 2001 is modified to add the following under Section 7, Potential Subcontract Award and Available Project Funding:

"Firm-fixed price subcontracts will be awarded."

In addition, the following information is provided in response to questions received regarding the subject LOI solicitation:

QUESTIONS/ANSWERS

1. Question: A small business has approached me as a potential subcontractor for an R&D Partner proposal. For the small business, the rate is 10%, while no price participation is required for academics. If we, as an academic institution, submitted a \$100K proposal where \$70K went to the small business and \$30K went to the academic institution, would I be correct in assuming that the cost-share would be \$7K from the business and \$0 from the academic institution?

Answer: There is no price participation required for a small business participating as a lower-tier subcontractor. The price participation requirements pertain to subcontractors only, not to the lower-tier subcontractors.
2. Question: Can the proposed amounts for University lower-tier subcontracts proposed as a part of a R&D Partner proposal be subtracted from the total proposed amount subject to price participation, e.g. do businesses proposing to participate as R&D Partners receive the same price participation accommodation vis-à-vis University subcontractors as businesses proposing as Technology Partners?

Answer: Yes, businesses proposing to participate as R&D Partners will receive the same price participation accommodation vis-à-vis University subcontractors as businesses proposing as Technology Partners. Accordingly, under Section 6, Qualification Requirements, of the LOI, the paragraph following Table 3 shall be amended to add "or R&D Partner proposals" after "Technology Partner proposals." The paragraph then reads as follows:

"Educational institutions are not required to price participate. Higher levels of price participation are welcome and will receive consideration during proposal evaluation in accordance with Section 10 below. However, in the case of University lower-tier subcontracts proposed as part of Technology Partner proposals **or R&D Partner proposals**, the proposed amount for the lower-tiers



can be subtracted from the total proposed amount before calculating minimum price participation requirements.”

3. Question: I am writing to request clarification of the number of proposals (LOI responses) an institution may submit. There is a maximum of two (2) awards per institution (page 7), but no explicit limit on the number of submissions.

Answer: NREL will accept a maximum total of two (2) LOI responses from each organization. A total of two (2) LOI responses may be submitted for any combination of categories, subject to the eligibility stipulations outlined in Table 2, Qualification Information by Category, on page 8. For example, a U.S. business could submit one (1) LOI response under the Technology Partners category and one (1) LOI response under the R&D Partners category, for a total of two (2). Or, an academic institution could submit two (2) LOI responses under the R&D Partners category.

4. Question: May our organization, as an educational institution, submit under the Center of Excellence program, and also submit two (2) proposals (LOI responses) to the R&D Partners program? We are currently funded under the latter, but wish to explore the possibility of the Center. Although I understand that we cannot have an R&D award if we are awarded the Center of Excellence subcontract.

Answer: No, your organization may not submit under the Center of Excellence if you are submitting two (2) LOI responses under the R&D Partners category. Per Answer No. 3 above, there is a maximum of two (2) LOI responses that may be submitted by any one (1) organization under this solicitation.

5. Question: The R&D Partners have a \$400K per year cap. However, I remember that reporting and accounting practices on subcontracts exceeding \$1 Million were different. Does this limit the proposed total of an award to less than \$1 Million?

Answer: The cap for R&D Partner awards is \$400K per year. For a period of performance of three (3) years, the total cap for the subcontract would be \$1.2 Million. As this solicitation is competitive and subcontract awards will be firm-fixed price, no pre-award audits are planned, but could be required. You might speak with your accounting office to determine if there are any internal accounting practices that would be affected by the award amount.

6. Question: The solicitation states that one purpose of the University Center of Excellence category is “to collaborate with U.S. thin film cell and module fabrication (companies) for improving processes, product performance, and cost.” Can letters from industrial collaborators attesting to successful collaboration in the past be included with the proposal without counting toward the 15-page limit?

Answer: Yes, NREL will allow submittal of such letters, or other types of reference letters to support past performance, in addition to the 15-page limit. However, a maximum of five (5) additional pages may be submitted, for a total of twenty (20) pages. This applies not only to the University Center of Excellence category, but also to the R&D Partners and Technology Partners categories.

7. Question: I am interested in knowing if the Pacific Northwest National Laboratory (PNNL) which is operated by Battelle Laboratories is eligible to obtain a program as part of the “Thin-Film Photovoltaics Partnerships Program.”
- Answer: PNNL, as a DOE laboratory, should not respond to this solicitation as an independent respondent, a lead respondent of a team, or a team member (lower-tier subcontractor). If the DOE determines that work should be performed by one of its national laboratories, it will either assign the work directly to PNNL or instruct NREL to execute an inter-contractor purchase.
- All other business units of Battelle cannot respond to an NREL competitive solicitation because they are affiliates of the business unit of Battelle that subcontracts with the Midwest Research Institute for the Management and Operation of NREL. The Battelle business units cannot respond as an independent respondent, lead respondent of a team, or team member (lower-tier subcontractor) because of perceived, apparent, or actual Organizational Conflicts of Interest.
8. Question: How is the ‘Film-Si on foreign substrates’ defined? (Does micro crystalline Si belong to a Si category or film Si category?)
- Answer: Micro crystalline Si belongs to either a –Si or Film-silicon category.
9. Question: I understand that multi-junction structures are allowed for a-Si category. Does it include a tandem structure with a-SiGe:H?
- Answer: Yes, it includes a tandem structure with a-SiGe:H.

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Responders are required to acknowledge receipt of this Amendment No. 1 with any Letter of Interest submitted in response to this solicitation.

RECEIPT ACKNOWLEDGED

COMPANY_____

NAME AND TITLE_____

DATE_____